



ALAMEDA COUNTY
CONGESTION MANAGEMENT AGENCY

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*April 7, 2009
Agenda Item 4.4.1*

Memorandum

DATE: March 30, 2009
TO: ACTAC
FROM: Matt Todd, Manager of Programming
RE: STIP Program: Timely Use of Funds Report

Information

Enclosed is the STIP Timely Use of Funds Report dated April 30, 2009. The information presented in the report is based on the information made available to the CMA's project monitoring team. This information stems from the project sponsors as well as other funding agencies such as Caltrans, MTC and the CTC.

The Report includes a total of 28 STIP projects being monitored for compliance with the STIP "Timely Use of Funds" provisions. Red zone projects are considered at a relatively high risk of non-compliance with the provisions. Yellow zone projects are considered at moderate risk, and green zone at low risk. The criteria for determining the project zones are listed near the end of the report. The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). A project may have multiple risk factors that indicate multiple zones. The risk zone associated with each risk factor is indicated in the tables. Projects with multiple risk factors are listed in the zone of higher risk.

The CMA requests copies of certain documents related to the required activities to verify that the deadlines have been met. Typically, the documentation requested are copies of documents submitted by the sponsor to other agencies involved with transportation funding such as Caltrans, MTC, and the CTC. The one exception is the documentation requested for the "Complete Expenditures" deadline which does not have a corresponding requirement from the other agencies. Sponsors must provide documentation supported by their accounting department as proof that the Complete Expenditures deadline has been met.

Next Steps

ACTAC is requested to review and confirm the project specific information included in the attached report. Project sponsors are requested to provide documentation related to the status of the required activities shown on the report by Friday, April 17th. Documentation and status updates should be provided to Jacki Taylor, via email to: JTaylor@accma.ca.gov. This information will be the basis of the STIP At Risk Report brought to the committees and the Board in May 2009.

Attachment

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Red Zone Projects

Index	PP No.	Sponsor	Project Title					Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By			
1	2009C	AC Transit	Berkeley/Oakland/San Leandro Corridor MIS					R	\$2,700K Alloc'd 4/26/07 12-Mo Ext Req Pending	R
	RIP	\$2,700	Env	06/07	Complete Expend	6/30/09				
2	2009P	BART	Ala. Co. BART Station Renovation					R	\$3M Alloc'd 12/11/08	R
	RIP	\$3,000	Con	07/08	Award Contract	6/30/09				
	RIP	\$248	PSE	07/08	Complete Expend	6/30/10	G	\$248 Alloc'd 9/5/07		
3	0057A	Caltrans	Caldecott Tunnel 4th Bore					R		R
	RIP	\$2,000	PSE	08/09	Allocate Funds	6/30/09				

Yellow Zone Projects

No Projects in Yellow Zone this Report

Green Zone Projects

Index	PP No.	Sponsor	Project Title							
		Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Zone
4	2009A	RIP	AC Transit \$3,705	Maintenance Facilities Upgrade Con	06/07	Accept Contract	3/7/10	G	\$3,705K Alloc'd 9/7/06 See Note 2	G
5	2009B	RIP	AC Transit \$1,000	SATCOM Expansion Con	06/07	Accept Contract	3/7/10	G	\$1,000K Alloc'd 9/7/06 See Note 2	G
6	2009D	RIP	AC Transit \$4,500	Bus Component Rehabilitation Con	06/07	Accept Contract	1/17/10	G	\$4.5M Alloc'd 7/20/06 See Note 2	G
7	2009I	RIP	AC Transit \$7,738	New Bus Component Rehabilitation Project Con	07/08	Accept Contract	5/29/11	G	\$7,738 Alloc'd 5/29/08	G
8	2009Q	RIP	AC Transit \$14,000	Bus Purchase Con	06/07	Accept Contract	4/12/10	G	\$14M Alloc'd 10/12/06 See Note 2	G
9	2009X	RIP	AC Transit \$7,810	Zero Emission Bus Project Con	07/08	Accept Contract	3/20/11	G	\$7.81M Alloc'd 9/20/07 See Note 2	G
10	0016O	RIP	ACCMA \$8,000	I-680 SB HOT Lane Accommodation Con	07/08	Accept Contract	6/26/12	G	\$8M Alloc'd 6/26/08 42 months for Accept App'd by CTC	G

Report Page 1 of 4

Green Zone Projects (Cont.)

Index	PP No.	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Zone
11	2179	ACCMA	Planning, Programming and Monitoring ¹	RIP	\$1,311	Con	07/08	Complete Expend	6/30/10	G	\$1,311 Alloc'd 7/26/07	G
				RIP	\$111	Con	06/07	Complete Expend	6/30/09	G	Expenditures Comp.	
				RIP	\$110	Env	05/06	Complete Expend	6/30/08	G	Expenditures Comp.	
				RIP	\$1,409	Con	08/09	Complete Expend	6/30/12	G	\$1,409 Alloc'd 7/24/08	
				RIP	\$1,209	Con	09/10	Allocate Funds	6/30/10	G		
				RIP	\$1,210	Con	10/11	Allocate Funds	6/30/11	G		
				RIP	\$1,000	Con	11/12	Allocate Funds	6/30/12	G		
				RIP	\$1,000	Con	12/13	Allocate Funds	6/30/13	G		
12	0062E	ACCMA	I-80 Integrated Corridor Mobility	RIP	\$954	Env	07/08	Complete Expend	6/30/10	G	\$954 Alloc'd 9/5/07 Contra Costa RIP	G
13	0044C	ACCMA	I-880 Reconstruction, 29th to 23rd	RIP	\$5,000	PSE	09/10	Allocate Funds	6/30/10	G		G
				RIP	\$7,000	Con	11/12	Allocate Funds	6/30/12	G		
14	0016V	ACTA	I-880/Mission Blvd, Phase 1B/2	RIP	\$10,000	Con	09/10	Allocate Funds	6/30/10	G		G
15	0081D	ACTA	Rte 84 Expressway - Fremont and Union City	RIP	\$9,300	Con	10/11	Allocate Funds	6/30/11	G		G
16	0016U	ACTIA	I-580 Castro Valley I/C Improvements	RIP	\$7,315	Con	07/08	Accept Contract	6/26/11	G	\$7.315M Alloc'd 3/12/08	G
17	2009N	Alameda	Tinker Avenue Extension	RIP	\$4,000	Con	07/08	Accept Contract	3/17/12	G	\$4M Alloc'd 9/25/08 Awd 3/17/09	R
18	2009L	Alameda Co.	Vasco Road Safety Improvements	RIP	\$4,600	Con	07/08	Accept Contract	7/29/11	G	\$4.6M Alloc'd 2/14/08 Contract Award 7/29/08	G
19	1014	BART	BART Transbay Tube Seismic Retrofit	RIP	\$38,000	Con	07/08	Accept Contract	3/5/11	G	\$38M Alloc'd 9/5/07	G
20	2009Y	BART	Ashby BART Station Concourse/Elevator Imps	RIP-TE	\$1,200	Con	07/08	Accept Contract	1/22/12	G	\$1,200 Alloc'd 6/26/08 Sched for Awd 1/22/09	G
21	2009W	Berkeley	Ashby BART Station Intermodal Imps	RIP	\$4,614	Con	07/08	Accept Contract	12/26/11	G	\$4,614 Alloc'd 6/26/08	G
				RIP	\$1,500	Con	09/10	Allocate Funds	6/30/10	G	AB 3090 approved 8/28/08	
22	2014U	GGBHTD	SF Golden Gate Bridge Barrier	RIP	\$12,000	Con	11/12	Allocate Funds	6/30/12	G		G
23	2009K	LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)	RIP	\$1,500	Con	06/07	Accept Contract	9/10/10	G	Contract Awd 9/10/07	G
				RIP	\$4,000	Con	10/11	Allocate Funds	6/30/11	G		

Green Zone Projects (Cont.)

Index	PP No.	Sponsor	Project Title							
		Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Zone
24	2100	MTC	Planning, Programming and Monitoring¹							
		RIP	\$113	Con	07/08	Complete Expend	6/30/10	G	\$113 Alloc'd 7/26/07	G
		RIP	\$110	Con	06/07	Complete Expend	6/30/09	G	Expenditures Comp.	
		RIP	\$110	Env	05/06	Complete Expend	6/30/08	G	Expenditures Comp.	
		RIP	\$113	Con	08/09	Complete Expend	6/30/12	G	\$113 Alloc'd 7/24/08	
		RIP	\$113	Con	09/10	Allocate Funds	6/30/10	G		
		RIP	\$113	Con	10/11	Allocate Funds	6/30/11	G		
		RIP	\$114	Con	11/12	Allocate Funds	6/30/12	G		
		RIP	\$114	Con	12/13	Allocate Funds	6/30/13	G		
25	1022	Oakland	Rte. 880 Access at 42nd Ave./High St., APD							
		RIP	\$5,990	R/W	07/08	Complete Expend	6/30/10	G	\$5.990M Alloc'd 12/13/07	G
26	2100C1	Oakland	MacArthur Transit Hub Improvement, 40th St							
		RIP-TE	\$193	Con	07/08	Accept Contract	12/1/10	G	Alloc App'd 7/26/07	G
27	2100E	Oakland	7th St. / West Oakland TOD							
		RIP-TE	\$1,300	Con	09/10	Allocate Funds	6/30/10	G		G
28	2110	Union City	Union City Intermodal Station							
		RIP	\$4,600	Con	07/08	Accept Contract	11/13/10	G	\$4.6M Alloc'd 9/5/07	G
		RIP	\$720	Con	05/06	Accept Contract	11/13/10	G	\$720K Alloc'd 11/9/06	
		RIP-TE	\$5,307	Con	05/06	Accept Contract	11/13/10	G	\$5,307K Alloc'd 11/9/06	
		RIP-TE	\$2,000	Con	06/07	Accept Contract	11/13/10	G	\$2,000K Alloc'd 11/9/06	
		RIP	\$9,787	Con	06/07	Accept Contract	11/13/10	G	\$9,787K Alloc'd 11/9/06	
		RIP	\$715	Con	11/12	Allocate Funds	6/30/12	G		

Notes:

- 1 PPM funds programmed in the Con phase are not subject to the typical construction phase requirements. Once PPM funds are allocated, the next deadline is "Complete Expenditures."
- 2 Transit projects receiving State-only funds are subject to project specific requirements included in agreements with Caltrans.

2008 STIP -Timely Use of Funds Provisions	
The At Risk Report monitors the STIP Timely Use of Funds Provisions included in the current STIP Guidelines as adopted by the CTC. The current Timely Use of Funds Provisions are as follows:	
Required Activity	Description
Allocation	For all phases, by the end (June 30th) of the fiscal year programmed in the STIP.
Construction Contract Award ¹	Within six (6) months of allocation.
Accept Contract	Within 36 months of contract award.
Complete Expenditures	For Env, PSE, & R/W funds, costs must be expended by the end of the second FY following the FY in which the funds were allocated.
Final Invoice (Final Report of Expenditures)	For Env, PSE, & R/W funds, within 180 days (6 months) after the FY in which the expenditure occurred. For Con funds, within 180 Days (6 months) of contract acceptance.

Zone Criteria			
The At Risk Report utilizes the deadlines associated with each required activity of the STIP Timely use of Funds Provisions to assign a zone of risk. The following zone criteria was developed for each of these risk zones (Red, Yellow, & Green). For the Final Invoice, this activity is tracked but no zone of risk is assigned.			
Required Activity	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Allocation -Env Phase	within four months	within four (4) to eight (8) months	All conditions other than Red or Yellow Zones
Allocation -PS&E Phase	within six months	within six (6) to ten (10) months	All conditions other than Red or Yellow Zones
Allocation -Right of Way Phase	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Allocation -Construction Phase	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Construction Contract Award ¹	within six months	NA	All conditions other than Red or Yellow Zones
Accept Contract	within six months	within six (6) to twelve (12) months	All conditions other than Red or Yellow Zones
Complete Expenditures	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Final Invoice (Final Report of Expenditures)	NA	NA	NA
Other Zone Criteria			
Yellow Zone	STIP /TIP Amendment pending		
Red Zone	Extension Request pending		
Notes:			
¹ June 2006 CTC action, Resolution G-06-08, changed the construction contract award deadline from within 12 months of the Allocation date to within 6 months of the Allocation date.			